MTO 21.4 Examples: Aziz, The Evolution of Chopin's Sonata Forms

(Note: audio, video, and other interactive examples are only available online)
http://www.mtosmt.org/issues/mto.15.21.4/mto.15.21.4.aziz.php

**Figure 1a.** Type 2 vs. Type 3 Sonatas

**Type 2**

Exposition (Rotation 1) \hspace{2cm} Development + Tonal Resolution (Rot. 2)

\[ P \quad TR \quad 'S' \quad C \quad \text{“P” “TR” ‘S’ ‘C’} \quad \text{“Tonal Resolution”} \]

**Type 3**

Exposition (Rotation 1) \hspace{2cm} Development \hspace{2cm} Recap (Rotation 3)

\[ P \quad TR \quad 'S' \quad C \quad \text{“P + TR + S + C”,} \quad \text{“P + TR”, “S + C”} \]

\[ P \quad TR \quad 'S' \quad C \]

\[ P = \text{Primary} \]
\[ TR = \text{Transition} \]
\[ S = \text{Secondary} \]
\[ C = \text{Closing} \]
\[ ' = \text{MC} \]

**Figure 1b.** Summary of Formal Events

<table>
<thead>
<tr>
<th>Piece (1st mvt.)</th>
<th>S?</th>
<th>Exposition goal key</th>
<th>Recap / tonal res. goal key</th>
</tr>
</thead>
<tbody>
<tr>
<td>Op. 4</td>
<td>None (RFC, no MC)</td>
<td>i</td>
<td>v</td>
</tr>
<tr>
<td>Op. 8</td>
<td>None, MC included</td>
<td>i</td>
<td>v</td>
</tr>
<tr>
<td>Op. 11</td>
<td>Yes</td>
<td>I</td>
<td>III , i</td>
</tr>
<tr>
<td>Op. 21</td>
<td>Yes</td>
<td>III , v</td>
<td>III , i</td>
</tr>
<tr>
<td>Op. 35</td>
<td>Yes</td>
<td>III</td>
<td>I</td>
</tr>
<tr>
<td>Op. 58</td>
<td>Yes</td>
<td>III</td>
<td>I</td>
</tr>
<tr>
<td>Op. 65</td>
<td>Yes</td>
<td>III , v</td>
<td>I , i</td>
</tr>
</tbody>
</table>

MC = Medial Coda
RFC = Resetting of the Formal Compass
Example 1a. Chopin Ballade No. 4, op. 52, ‘Apotheosis’ in D♭, prepared by V/B♭

Example 1b. Chopin Ballade No. 4, op. 52, Second Theme in D♭, prepared by V/B♭
Example 2a. Chopin Ballade No. 1, op. 23, TR₃ + S

Enharmonic reinterpretation of F#
Example 2b. Chopin Ballade No. 1, op. 23, E♭ apothecosis
Example 3. Schubert, Sonata in G, D. 894, 1st mvt., beginning of exposition

P (Webster’s A)

TR? (Webster’s B)

RFC

P reinstated
Example 4. Schubert, Sonata in B♭, D. 960, 1st mvt., beginning of exposition

\[ TR^2 \text{ (Webster’s “B”) } \]

\[ RFC \text{ (creates formal backtrack) } \]

\[ P \text{ reinstated (“A”) } \]
**Figure 2. Exposition and Recapitulation of op. 4 and op. 8**

### EXP

<table>
<thead>
<tr>
<th>P1</th>
<th>P2</th>
<th>TR</th>
<th>RFC!</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>17</td>
<td>43</td>
<td>No S, C?</td>
</tr>
<tr>
<td>31</td>
<td></td>
<td>47</td>
<td></td>
</tr>
<tr>
<td>55</td>
<td>63</td>
<td>82</td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Sentence</th>
<th>HC Sentence</th>
<th>HC Sentence</th>
<th>IAC Sentence</th>
<th>PAC Sentence</th>
<th>PAC Sentence</th>
<th>PAC Sentence</th>
<th>Se</th>
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<tbody>
<tr>
<td>4</td>
<td>4</td>
<td>8</td>
<td>4</td>
<td>6</td>
<td>4</td>
<td>4</td>
<td>G Min</td>
</tr>
<tr>
<td>G Min</td>
<td>Ab Maj?</td>
<td>G Min?</td>
<td>E Min!</td>
<td>G M1N!</td>
<td>Bl</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

### EXP

<table>
<thead>
<tr>
<th>P</th>
<th>TR</th>
<th>MC</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>29</td>
<td>33</td>
</tr>
<tr>
<td>39</td>
<td>43</td>
<td>71</td>
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</table>

<table>
<thead>
<tr>
<th>Nested Sentence</th>
<th>HC</th>
<th>PAC</th>
<th>PAC</th>
<th>HC</th>
<th>Eb?</th>
<th>PAC</th>
</tr>
</thead>
<tbody>
<tr>
<td>4</td>
<td>4</td>
<td>20 (8 + 12)</td>
<td>1</td>
<td>1</td>
<td>1</td>
<td>1 (2 + 2)</td>
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<tr>
<td>4</td>
<td>4</td>
<td>4</td>
<td>4</td>
<td>4</td>
<td>4</td>
<td>4</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>G Min</th>
<th>Bb Maj</th>
<th>G min</th>
<th>G M1N!</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

### REC

<table>
<thead>
<tr>
<th>P</th>
<th>TR</th>
</tr>
</thead>
<tbody>
<tr>
<td>136 - 163</td>
<td>164</td>
</tr>
<tr>
<td>16</td>
<td>1</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>N.S.</th>
<th>PAC</th>
<th>1</th>
</tr>
</thead>
<tbody>
<tr>
<td>(=1 - 28)</td>
<td>PAC</td>
<td>1</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>G Min</th>
<th>B</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
</tr>
</tbody>
</table>
Example 5a. Chopin Piano Sonata op. 4, 1st mvt., exposition, transition
Example 5b. Chopin Piano Sonata op. 4, 1st mvt., recapitulation, transition

TR Attempt

191

196

= m. 55 from exposition

201
Example 6a. Chopin Piano Trio, op. 8, 1st mvt., exposition, transition

(Tr, from m 29)

Dominant Lock

MC

S? No!
Example 6b. Chopin Piano Trio, op. 8, 1st mvt., recapitulation, transition

D minor!
Figure 3. Chopin Piano Concerto No. 1 in E minor, op. 11, 1st mvt.

Rit 1 (Orch. Exposition)

Solo 1 (Piano Exposition)

Recapitulation -- Rit 3 (486-509)/Solo 3

[Diagram of musical notation with measures and annotations]
Example 7a. Chopin Piano Concerto No. 1, op. 11, 1st mvt., orchestral exposition, end of TR and S
Example 7b. Chopin Piano Concerto No. 1, op. 11, 1st mvt., solo exposition, end of TR and S
Example 7c. Chopin Piano Concerto No. 1, op. 11, 1st mvt., recapitulation, end of TR and S
Figure 4. Chopin Piano Concerto No. 2 in F minor, op. 21, 1st mvt.

Rit 1 (Orch. Exposition)

1  9  27  31  36  36  51  59  71
P  TR₁  MC  TR  (real) MC  S₁  S₂  EEC  Retr.  (Non-thematic warmup)
(f)  declined! “rhetoric”  (Ab)  declined! (back to f)

Solo 1 (Piano Exposition)

75  82  91  101  117  123  125  143  151  175  181
P  TR  TR₂  TR₃  MC  S₁  TR to  DZ  (hint of Ab)  V/c  EEC
(f)  (MC declined!) dom.  lock/Ab  (Ab)  DZ  (c)  (mod. to c)

Solo 3 (Recap)

268  272  291  301  327  337  348
P  S!!!!  S_TR  DZ  (hint of Db)  V/f  Coda
f  Ab  ESC?  f restored  ESC?
(P abandoned! Type 27)
Example 8a. Chopin Piano Concerto No. 2, op. 21, 1st mvt., orchestral exposition, end of TR and S

Example 8b. Chopin Piano Concerto No. 2, op. 21, 1st mvt., solo exposition, end of TR and S
Example 8c. Chopin Piano Concerto No. 2, op. 21, 1st mvt., recapitulation [P=S]
Example 9. Chopin Allegro de Concert, op. 46, 1st mvt., development ⇒ tonal resolution

“Development”

... becomes tonal resolution
Figure 5. Formal Plans of Chopin’s Late Sonatas

Rotation 1

Sonata No. 2 in B-flat minor

1 5 25 40 41 57 81 105

Bb: ant. cons. Db: rep./exp. C (retrans.)

Rotation 2

Sonata No. 3 in B minor

1 12 17 31 35 41 57 61 66 76 84 88

P1,1 P1,2 TR,3 TR,4 MC S1 S2 S3 S4 EEC/C C1 C2 C3 retr.

PZ1 PZ2 AZ Retr. (prep zones) (action zone) N6

b: cons. V/D D: sostenuto

Cello Sonata in G minor

1 9 24 (36) 44 (53) 61 69 77 92 112

P1,1 P1,2 TR,1,2 TR,3,4 V/g S S EEC/C retr.

P (seq) more P/ TR G F E fortsp. d

g: ant. cons. Bb: D min!! (3 - KEY?)

V/Bb
Example 10a. Chopin Piano Sonata No. 2, op. 35, 1st mvt., exposition, onset of S

Example 10b. Chopin Piano Sonata No. 2, op. 35, 1st mvt., rotation 2, onset of S
Example 11a. Chopin, Piano Sonata No. 3, op. 58, 1st mvt., exposition, $S_1$

Example 11b. Chopin, Piano Sonata No. 3, op. 58, 1st mvt., exposition, $S_2$
Example 11c. Chopin, Piano Sonata No. 3, op. 58, 1st mvt., development, false resolution

Example 11d. Chopin, Piano Sonata No. 3, op. 58, 1st mvt., development, RFC
Example 11e. Chopin, Piano Sonata No. 3, op. 58, 1st mvt., onset of tonal resolution (S)
Example 12a. Chopin, Cello Sonata, op. 65, 1st mvt., exposition, caesura-fill and S
Example 12b. Chopin, Cello Sonata, op. 65, 1st mvt., exposition, closing in D minor (three-key exp.)
Example 12c. Cello Sonata, op. 65, 1st mvt., development, transition into tonal resolution (caesura fill)